Separate Account Managers in Sustainable and Responsible Investing

Strategy Profile:
UBS Global Sustainable Equity

About This Strategy

Assets Under Management (AUM): $701M (in US$ millions)

Required Minimum: $100,000 Retail separate account, $25 million Institutional separate account, and $15 million Institutional Commingled Fund.

Benchmark used: MSCI World

Strategy type: International/Global

Strategy description: The Global Sustainable Equity Strategy: (1) Invests in “sustainability champions” that feature innovative products or services that meet environmental or social challenges, deliver impact, and have the ability to drive returns, (2) Bottom-up best ideas stock selection based on sustainability thesis, fundamental analysis, and thematic exposure, and (3) Long history of global sustainable investing with a 15-year track record. Global Sustainable Equity is an all-cap strategy that seeks to provide value-added investment results over the MSCI World Index by investing in attractively valued companies with strong fundamental valuation as well as a long-term sustainable business model. The strategy is actively positioned to benefit from themes such as water and energy conservation, demographics and other important trends. In short, we believe that combining a traditional valuation discipline with sustainability analysis enhances the possibilities for value-added returns.

Strategy web link: External Link

About The Company

Institution Name:
UBS Asset Management (Americas) Inc.

Approach to Sustainable & Responsible Investment: UBS Asset Management is a business division of UBS. With around 2,400 personnel located in 24 countries, UBS Asset Management is a truly global asset manager. Our principal offices are in Chicago, Frankfurt, Hartford, Hong Kong, London, New York, Paris, Singapore, Sydney, Tokyo and Zurich. We have independence in investment decision making and we operate as a focused asset manager. UBS Asset Management is a large-scale asset manager with businesses well-diversified across regions, capabilities and distribution channels. It offers investment capabilities and investment styles across all major traditional and alternative asset classes. These include equity, fixed income, currency, hedge fund, real estate, infrastructure and private equity investment capabilities which can be combined into multi-asset strategies. The Fund Services unit provides professional services including legal fund set-up, accounting and reporting for traditional investment funds and alternative funds. UBS Asset Management (Americas) Inc., a Delaware corporation, is a member of the UBS Asset Management business division of UBS AG. UBS is a leader in Sustainability investing. The Global Sustainable Equity Strategy benefits from a company-wide commitment to leading-edge sustainability research and initiatives across all of UBS’s divisions. This includes the UBS Investment Bank’s award-winning sustainability research unit, UBS Wealth Management’s thematic research team and UBS Asset Management’s Sustainability Equities team. In addition, UBS is a leader in advancing state-of-the-art sustainability analysis with its membership in two key steering committees, the Sustainability Accounting Standards Board and the Global Initiative for Sustainability Ratings. There has been a dedicated Sustainability investment team at UBS Asset Management since 1997. The firm has a wide variety of mandates for a diverse client base that includes institutional, individual/high net worth, insurance and other clients.

Research conducted: Both internally and externally
Specific Screening Information by Category

Environment

- **Climate / Clean Technology**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Pollution / Toxics**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening looking for best practices dealing with subject
- **Other Environmental**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening

Social

- **Community Development**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Diversity & Equal Employment Opportunity**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Human Rights**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Labor Relations**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Conflict Risk**: Restricted/Exclusionary Investment

Governance

- **Board Issues**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Executive Pay**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening

Products

- **Alcohol**: No Investment
- **Animal Welfare**: Combination of Positive and Restricted/Exclusionary Strategies - Positive screening
- **Defense/Weapons**: No Investment
- **Gambling**: No Investment
- **Tobacco**: No Investment

Other

- **Shareholder Engagement - Shareholder Resolutions**: Filed or co-filed with companies on environmental, social or governance issues
- **Shareholder Engagement - Private Dialogue**: Conducted with companies on environmental, social or governance issues
- **Proxy Voting**: Actively voted by my institution for this investment strategy in support of environmental, social or governance issues in accordance with formal guidelines